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FIRM NAME: U.S. Patent and Trademark Office TELEPHONE #:  
LOCATION: Washington, D.C. REFERENCE #: 2815/470640-4 (11557.02)

FROM: Marilyn Johnson, IP Paralegal FAX #: (303) 629-3450  
TELEPHONE #: (303) 628-1507 EMAIL: johnson.marilyn@dorseyllaw.com  
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*Marilyn Johnson*  
Originator's Signature

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Application of:  
Teruo UMEMOTO

Confirmation No.: 2747

Appln. No.: 10/023,365

Group Art Unit: 1712

Filed: December 14, 2001

Examiner:

Title: Method for Preparing Polymers  
Containing Cyclopentanone

Atty Ref. No.: 11557.02/470640-4

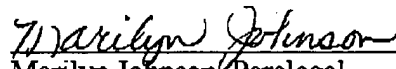
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1. Statement Under 37 CFR 3.73(b); and
2. Power of Attorney by Assignee

  
Marilyn Johnson, Paralegal  
DORSEY & WHITNEY LLP  
370 Seventeenth Street, Suite 4700  
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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant: Teruo UMEMOTO Teruo UMEMOTO

Application No.: 10/023,365 Filed: December 14, 2001

Entitled: Method for Preparing Polymers Containing Cyclopentanone (11557.02/470640-4)

IM&T Research, Inc.

(Name of Assignee)

a Colorado corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of an undivided part interest

In the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel 012401, Frame 0380, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

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The document was recorded in the Patent and Trademark Office at  
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

April 24, 2003  
Date

Teruo Umemoto  
Signature

TERUO UMEMOTO  
Typed or printed name

President

Title

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RECORDATION DATE: 12/14/2001

REEL/FRAME: 012401/0380  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

## ASSIGNOR:

UMEMOTO, TERUO

DOC DATE: 12/14/2001

## ASSIGNEE:

IM&T RESEARCH, INC.  
6860 NORTH BROADWAY, SUITE B  
DENVER, COLORADO 80221

SERIAL NUMBER: 10023365

FILING DATE: 12/14/2001

PATENT NUMBER:

ISSUE DATE:

JEFFREY OLSEN, EXAMINER  
ASSIGNMENT DIVISION  
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01-02-2002

FORM PTO-1595

(Rev. 6-93)

OMB No. 0651-0011 (exp. 4/94)

M&amp;C-40222.0003USC1



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U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

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To the Commissioner of Patents and Trademarks: Plc:

and the attached original document(s)

thereof.

1. Name of conveying party(ies):

Teruo Umemoto

2. Name and address of receiving party(ies):

IM&T Research, Inc.  
6860 North Broadway, Suite B  
Denver, CO 80221Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ NoAdditional name(s) & address(es) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other:

Execution Date: December 14, 2001

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: December 14, 2001

A. Patent Application No.(s)

B. Patent No.(s)

40222.0003USC1

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Paul J. Prendergast  
 Address: Merchant & Gould P.C.  
 P.O. Box 2903  
 Minneapolis, MN 55402-0903



6. Total number of applications and patents involved:

7. Total fee (37 CFR 3.41): \$40.00  
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Paul J. Prendergast

Name of Person Signing

Signature

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Date

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12/28/2001 6TOW11 00000132 10023365

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## ASSIGNMENT

WHEREAS, I, Teruo Umemoto, residing at 10956 Bryant Street, Westminster, Colorado 80234, made certain new and useful inventions and improvements for which I filed an application for Letters Patent of the United States on December 14, 2001, which is entitled METHOD FOR PREPARING POLYMERS CONTAINING CYCLOPENTANONE STRUCTURES.

AND WHEREAS, IM&T RESEARCH, INC., a corporation organized and existing under and by virtue of the laws of the State of Colorado, and having an office and place of business at 6860 North Broadway, Suite B, Denver, CO 80221 (hereinafter "Assignee") is desirous of acquiring the entire right, title and interest in and to said inventions, improvements and application and in and to the Letters Patent to be obtained therefor;

NOW THEREFORE, to all whom it may concern, be it known that for and in consideration of the sum of One Dollar and other good and valuable considerations, the receipt and sufficiency whereof is hereby acknowledged, I have sold, assigned, and transferred, and by these presents do sell, assign and transfer unto said Assignee, its successors or assigns, the entire right, title and interest for all countries in and to all inventions and improvements disclosed in the aforesaid application, and in and to the application, all divisions, continuations, or renewals thereof, all Letters Patent which may be granted therefrom, and all reissues or extensions of such patents, and in and to any and all applications which have been or shall be filed in any foreign countries for Letters Patent on the inventions and improvements, including an assignment of all rights under the provisions of the International Convention, and all Letters Patent of foreign countries which may be granted therefrom; and I do hereby authorize and request the Commissioner of Patents and Trademarks to issue any and all United States Letters Patent for the aforesaid inventions and improvements to the Assignee as the assignee of the entire right, title and interest in and to the same, for the use of the Assignee, its successors and assigns.

AND, for the consideration aforesaid, I do hereby agree that I and my executors and legal representatives will make, execute and deliver any and all other instruments in writing including any and all further application papers, affidavits, assignments and other documents, and will communicate to said Assignee, its successors and representatives all facts known to me relating to said improvements and the history thereof and will testify in all legal proceedings and generally do all things which may be necessary or desirable more effectually to secure to and vest in said Assignee, its successors or assigns the entire



right, title and interest in and to the improvements, inventions, applications, Letters Patent, rights, titles, benefits, privileges and advantages hereby sold, assigned and conveyed, or intended so to be.

AND, furthermore I covenant and agree with said Assignee, its successors and assigns, that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been made to others by me and that full right to convey the same as herein expressed is possessed by me.

IN TESTIMONY WHEREOF, I have hereunto set my hand this 14 day of December, 2001.

Teruo Umemoto  
Teruo Umemoto

STATE OF Colorado )  
COUNTY OF Denver ) ss.

On this 14th day of December 2001, before me personally appeared Teruo Umemoto to me known and known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged to me that he executed the same for the uses and purposes therein set forth.

[SEAL]

Paula G. Ego  
Notary Public

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Name of Assignee:

IM&T Research, Inc.

Address: 6860 North Broadway, Suite B  
Denver, Colorado 80221

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**POWER OF ATTORNEY BY ASSIGNEE**

Director - U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

As an officer of IM&T Research, Inc., a Colorado corporation ("Assignee"), I hereby certify that to the best of my knowledge and belief Assignee is the assignee of the entire right, title and interest in and to the U.S. applications referenced in the attached list, and I represent that I am a representative authorized and empowered to sign on behalf of the Assignee.

I have reviewed the assignment documents that evidence the placement of title in the Assignee for each U.S. application mentioned therein, and I understand and believe that these assignment documents will be or have been submitted for recordation in the U.S. Patent and Trademark Office.

Assignee hereby appoints on its behalf the following patent attorneys to prosecute the attached U.S. patent applications identified therein and to transact all business in the Patent Office connected therewith:

USPTO Customer No. 20686  
DORSEY & WHITNEY LLP

Pursuant to 37 C.F.R. § 3.71, Assignee hereby states that prosecution of the U.S. patent applications referenced in the attached list are to be conducted to the exclusion of the inventor(s).



Send all correspondence relating to these applications to:

Paul J. Prendergast, Esq.  
USPTO Customer No. 20686  
DORSEY & WHITNEY LLP  
370 Seventeenth Street, Suite 4700  
Denver, Colorado 80202-5647


Direct all correspondence to Paul J. Prendergast:

Telephone: (303) 629-3400  
Facsimile: (303) 629-3450  
Email: prendergast.paul@dorseylaw.com

The undersigned hereby declares that all statements made herein of his own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, § 1001 and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signed this 23rd day of April, 2003.

ASSIGNEE: IM&T Research, Inc.

By   
Name: TERUO UMEMOTO  
Title: President

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Docket No.	Client-Matter No.	Title	Application
11556.00	470640-2	Polymer Materials for Use in an Electrode	Nonprovisional S/N: 09/939,345 Filed: 24 Aug. 2001
11557.00	470640-3	Method for Preparing Polymers Containing Cyclopentanone Structures	Nonprovisional S/N: 09/939,141 Filed: 24 Aug 2001
11557.02	470640-4	Method for Preparing Polymers Containing Cyclopentanone	Continuation-in-Part S/N: 10/023,365 Filed: 14 Dec 2001
11558.00	470640-5	Tekraketopiperazine Unit-Containing Compound as an Active Material in Batteries	Nonprovisional S/N: 10/028,064 Filed: 20 Dec 2001